



State of California  
**Franchise Tax Board**

STATE OF CALIFORNIA  
**PRINCIPAL COMPLIANCE  
REPRESENTATIVE**

DEPARTMENTAL PROMOTIONAL EXAMINATION

Location: Sacramento

Final Filing Date: August 19, 2015

## MISSION STATEMENT

**Mission of the Franchise Tax Board:** Our mission is to provide the services and information to help taxpayers file accurate and timely tax returns and pay the proper amount owed. To accomplish this mission, we develop knowledgeable and engaged employees, administer and enforce the law with fairness and integrity, and responsibly manage the resources allocated to us.

## EEO

The State of California is an equal opportunity employer to all, regardless of age, ancestry, color, disability (mental and physical), exercising the right to family care and medical leave, gender, gender expression, gender identity, genetic information, marital status, medical condition, military or veteran status, national origin, political affiliation, race, religious creed, sex (includes pregnancy, childbirth, breastfeeding and related medical conditions), and sexual orientation.

## DRUG FREE STATEMENT

It is an objective of the state of California to achieve a drug-free state work place. Any applicant for state employment will be expected to behave in accordance with this objective because the use of illegal drugs is inconsistent with the law of the state, the rules governing civil service and the special trust placed in public servants.

## WHO SHOULD APPLY?

Applicants who meet the minimum qualifications as stated below may apply for this examination. All applicants must meet the education and/or experience requirements as stated on this examination announcement.

This is a promotional examination for Franchise Tax Board (FTB). In order to take this examination:

1. Applicant must have a permanent civil service appointment without a break in service, with the Franchise Tax Board, by the final filing date; **or**
2. Applicant must be a current or former employee of the Legislature for two or more years as defined in Government Code Section 18990; **or**
3. Applicant must be a current or former non-elected exempt employee of the Executive Branch for two or more consecutive years as defined in Government Code Section 18992; **or**
4. Applicant must be a person retired from the United States Military, honorable discharged from active duty with a service-connected disability; or honorably discharged from active duty as defined in Government Code Section

18991. **Veterans must provide a copy of their DD214 for entrance requirements.** Please attach your DD214 to your application. **Veterans' preference will not be granted in promotional examinations.**

For applicants under items 2, 3, or 4, if promotional examinations are given by more than one department for the same classification, the applicant must select one department in which to compete. Refer to the General Information, Promotional Examinations Only section of this bulletin for other eligibility requirements. Under certain circumstances, former FTB employees may be allowed to compete under the provisions of Rule 235.

## FILING INSTRUCTIONS

**FINAL FILING DATE TO SUBMIT AN APPLICATION: August 19, 2015**

Applications (STD. 678) are available at CalHR's website [www.jobs.ca.gov](http://www.jobs.ca.gov) or FTB's website at [www.ftb.ca.gov](http://www.ftb.ca.gov).

Applications can be filed either:

**In Person:**

Franchise Tax Board  
9646 Butterfield Way  
Sacramento Bldg., Exam/Certification Unit  
Sacramento, CA 95827

**By Mail:**

Franchise Tax Board  
ATTN: Exam/Certification Unit  
P.O. Box 550  
Sacramento, CA 95812-0550

**APPLICATIONS MUST CONTAIN ORIGINAL SIGNATURES AND MUST BE SUBMITTED TO THE ADDRESS INDICATED ABOVE.**

Applications (STD.678) must be **POSTMARKED** no later than the final filing date. Applications postmarked, personally delivered, or received via interoffice mail after the final filing date will not be accepted.

**NOTE: TO TAKE THIS EXAMINATION, YOU MUST PROVIDE AN EMAIL ADDRESS ON YOUR APPLICATION.**

The Qualification Assessment (QA) exam link will be sent to the email address you provide. All examination notifications (except the QA link) will be sent by mail.

## SPECIAL TESTING ARRANGEMENTS

If you have a disability and need special assistance or special testing arrangements, contact Franchise Tax Board (FTB), Examination/Certification Unit at (916)845-3608, or via the California Relay Service for the Deaf or Hard of Hearing at (800)735-2929 from TTY phones and (800) 735-2922 from voice phones.

Additionally, please select the "Reasonable Accommodations" box when filling out the application.

## SALARY

**\$5,053 - \$6,325**

## ELIGIBLE LIST INFORMATION

A departmental, promotional merged list will be established for the Franchise Tax Board. The names of successful competitors will be merged onto the eligible list in order of final scores regardless of test date. List eligibility will expire 12 months after it is established. Competitors will be able to retake the exam (Qualifications Assessment) after 9 months to reestablish list eligibility.

**NOTE:** In order to maintain list eligibility, competitors must participate in the current exam administration.

## REQUIREMENTS FOR ADMITTANCE TO THE EXAMINATION

**NOTE:** All applicants must meet the education and/or experience requirements as stated on this examination bulletin by the final filing date. Your signature on your application indicates that you have read, understood, and possess the qualifications required.

Applications/resumes **MUST** contain the following information: "to" and "from" dates (month/day/year), time base, civil service class title(s), and range, if applicable. College course information **MUST** include: title, semester or quarter credits, name of institution, completion dates, and degree (if applicable).

**Applications/resumes received without this information may be rejected.**

**NOTE:** It is especially important that each applicant take special care to accurately and completely fill out their application. List all experience relevant to the "Minimum Qualifications" shown on this announcement.

## MINIMUM QUALIFICATIONS

### EITHER I

One year of experience in the California state service performing the duties of a Senior Compliance Representative.

### OR II

**Experience:** Four years of professional experience interpreting and administering laws related to tax law compliance or debt collection work, at least one year of which shall have involved performance of the most difficult assignments. (Experience in the California state service applied toward this pattern must include one year at a level equivalent to Senior Compliance Representative.) **AND**

**Education:** Equivalent to graduation from college, which must include at least one course each in basic accounting or Federal or State taxation and business or commercial law; and one course in either economics, business administration, or public administration. Additional experience may be substituted for the required general education on the basis of one year of experience being equal to 30 semester or 45 quarter units. No substitution is permitted for the specific course work required. (Registration as a senior in a recognized institution will admit applicants to the examination, but they must produce evidence of graduation or its equivalent before they can be considered eligible for appointment.) (Applicants must indicate the following regarding the required courses: title, number of units, name of institution, and completion date.)

**NOTE:** Qualifying experience may be combined on a proportionate basis if the requirements stated above include more than one pattern and are distinguished as "Either I," "or II," "or III," etc., unless otherwise stated.

## PROOF OF EDUCATION

Applicants using education to meet the minimum requirements must provide a copy of their diploma, official/unofficial transcript, statement and/or evaluation from an accredited U.S. college or university with their examination application. If an applicant is not able to provide proof of education from a recognized institution at the time of hire, their name may be removed from the eligible list(s).

## FOREIGN DEGREES

Applicants with foreign transcripts must provide an official/unofficial foreign transcript evaluation that indicates the number of units to which his/her foreign course work is equivalent. FTB accepts foreign transcript evaluations that are completed by one of the agencies approved by the California Commission on Teachers Credentialing. Agencies accredited by the Commission for Foreign Transcription Evaluation may be found on the Commission's website: [www.ctc.ca.gov](http://www.ctc.ca.gov).

**NOTE: All documents submitted become the property of the FTB. Do not submit original diplomas with the examination application.**

## POSITION DESCRIPTION

A Principal Compliance Representative acts as a highly skilled independent technical expert on the most sensitive and complex projects pertaining to statewide compliance practices, policies, and legal issues. Responsibilities include program development, evaluation, and/or recommendation of policies and procedures for collection and legal issues on such matters which can include nominee liens, charging orders, seizure and sale of real property, alter ego, offers in compromise, trusts, and bankruptcy; acting as a liaison with legal on appeal cases before the Board of Equalization; the analysis and development of legislative changes; and the planning, development, and evaluation of the statewide collection and filing enforcement programs and automated systems.

**Positions exist in Sacramento, Oakland, Los Angeles, and Santa Ana.**

## EXAMINATION INFORMATION

### Qualifications Assessment -- Weighted 100%

This examination will consist of a Qualifications Assessment weighted 100%. Candidates must attain an overall minimum score of 70% in order to be placed on the eligible list.

**CANDIDATES WHO DO NOT COMPLETE OR SUBMIT THE QUALIFICATIONS ASSESSMENT BY THE DUE DATE WILL BE DISQUALIFIED.**

## SELECTION PLAN

It is anticipated that candidates who meet the minimum qualifications for this examination will be sent an email the **week of October 5, 2015**, which will contain the instructions and the link to complete the online Qualifications Assessment (QA) examination. **It is the candidate's responsibility to read the letter that is enclosed with their acceptance notice which provides specific instructions/dates about the QA link. It is also the candidate's responsibility to contact Franchise Tax Board's Examination/Cert Unit at (916) 845-3608 if they have not received the QA link by the date indicated on the letter.**

## SCOPE OF EXAMINATION

Candidates should be prepared to answer pre-determined, job-related questions identified under the Knowledge, Skills, Abilities, and Personal Characteristics.

## KNOWLEDGE, SKILLS, ABILITIES, AND PERSONAL CHARACTERISTICS

### Knowledge of:

1. IRS and FTB security requirements concerning taxpayer privacy and disclosure of taxpayer/debtor information.
2. FTB programs, computer systems and data bases (e.g., TI, BETS, ARCS, INC, Non-Tax Systems, etc.).
3. Basic PC functions and Microsoft Office applications, including the internet, email, and other functions needed for work related activities.
4. Taxpayer Bill of Rights, Principles of Tax Administration, Fair Debt Collection Practices Act and Fair Credit Reporting Act.
5. Basic customer service skills to effectively represent FTB to taxpayers/debtors and other customers.
6. Basic business and commercial laws, practices, and management techniques.
7. Other agency computer systems (e.g. DMV, SOS, BOE, EDD).
8. Types of business organizations (e.g., sole proprietorships, partnerships, corporations, limited liability corporations, and limited liability partnerships).
9. Collection procedures and resources, including the Collection Procedures Manual (CPM), the RACK, and Resource and Development Guide (R&D Guide).
10. The structure and content of the English language, including the meaning and spelling of words, rules of composition and grammar.
11. Leadership traits or qualities necessary for success as a Lead (e.g., good listener, effective communicator, delegates, inspires, motivates and empowers team members, etc.).
12. FTB policies regarding conflict of interest, sexual harassment and workplace violence in order to avoid personal conduct that is inappropriate.
13. Basic accounting practices (e.g., review balance sheets, financial statements, calculate claims or penalties, debits and credits).
14. Basic components of Personal Income Tax and Business Entity Tax returns (e.g., income, deductions, exemptions, credits, etc.) to complete relevant job assignments.

### Skill to:

1. Verbally explain laws, rules, regulations, policies and procedures to departmental staff, taxpayers/debtors or their representatives, external clients, other agencies and third parties in an effective manner.
2. Research and interpret reference material needed to administer the laws, rules, regulations, policies and procedures of the FTB.
3. Communicate in writing, using proper English grammar, punctuation and spelling, in order to effectively convey information.
4. Read, comprehend and interpret complex information (e.g., laws, regulations, policies and/or procedures) in order to determine the main ideas, apply information, and take the appropriate action.
5. Communicate verbally, using proper English vocabulary and word use, in order to effectively convey information.
6. Interact tactfully and diplomatically with a variety of audiences, including frustrated, angry, or otherwise emotional individuals on the phone or in person.
7. Formulate and ask relevant questions in order to help clarify facts, obtain asset information and address specific needs or issues, on the phone or in person, upon the first contact.
8. Write material to departmental staff, taxpayers/debtors and their representatives, external clients, other

agencies and third parties to effectively explain laws, rules, regulations, policies, procedures and payment obligations.

9. Provide technical expertise to departmental staff, taxpayers/debtors and their representatives, external clients, other agencies, and third parties to administer departmental programs.
10. Use the Intranet and Internet, including search engines, to access collection tools and get information on taxpayers/debtors.
11. Make effective presentations and present complex information in a way that is easy to understand.
12. Read and interpret numerical data in order to explain it to members of the general public, as well as FTB staff and other governmental agencies.
13. Edit written material prepared by others to improve the accuracy, clarity, and effectiveness of documents sent out to the public.
14. Perform a variety of mathematical computations (such as formulas and percentages).
15. Accurately and efficiently enter data into a computerized database.
16. Effectively facilitate team interactions and meetings.

**Ability to:**

1. Quickly learn new information and retain information that has been presented previously to successfully perform duties.
2. Analyze situations accurately, use good judgment and take effective action.
3. Use available resources to locate taxpayers/debtors and their assets, including mainframe and web-based programs.
4. Apply standards of ethical conduct and understand the impact of violating these standards on the organization, self and others.
5. Treat individuals with fairness, courtesy and respect.
6. Effectively plan, organize and manage information, work and time.
7. Behave responsibly and be accountable for actions taken in order to be a credible team leader.
8. Demonstrate responsible conduct, professional behavior, and a positive attitude when dealing with managers, supervisors, coworkers, customers, third party contacts, and stakeholders to achieve desired outcomes and ensure good relations.
9. Delegate work to others in order to help staff develop new skills.
10. Persist in following a course of action and overcoming obstacles in order to complete an assignment, resolve a case, or achieve a goal.
11. Work within the political, organizational and technological systems of the department.
12. Devise unique solutions, visualize the effect of changes, exercise creativity and inventiveness in order to resolve new problems or issues that develop.
13. Stay calm in stressful situations and maintain composure in the face of stress producing stimulus such as interactions with hostile individuals or potentially threatening situations.
14. Be receptive to change and adapt quickly to achieve organizational goals.
15. Be flexible in adjusting to changing priorities and new workloads that may impact other planned projects and assignments.
16. Maintain a positive attitude, accept constructive feedback, and not take disagreements or challenges personally, in order to improve performance.
17. Manage multiple or competing priorities in order to complete tasks within established timeframes.
18. Gain the cooperation of others, and work cooperatively in a team environment, to increase efficiency and effectiveness.
19. Work cooperatively and productively as a member of a team to achieve a common goal.
20. Relate well to individuals with diverse backgrounds and different levels of education and experience.
21. Demonstrate assertiveness, firmness and discretion in communications with the public.

22. Listen carefully and give full attention to what others are saying, asking questions as appropriate and not interrupting at inappropriate times.
23. Share expertise and willingness to serve as a resource to colleagues and staff to improve team effectiveness and promote staff development.
24. Model the Department's values and set high personal standards of professional conduct and ethical behavior.
25. Apply specialized knowledge acquired through formal training or extensive on-the-job training to perform one's job.
26. Learn to utilize personal computer systems and software applications required in the performance of job duties.
27. Effectively use research skills and reference materials (e.g., manuals and databases) to identify solutions, improve program efficiency, and accurately complete job assignments.
28. Give constructive criticism of work products and practices in order to improve the work performance of others.
29. Recognize questions or situations outside the employee's knowledge or area of responsibility and refer to appropriate sources for resolution.
30. Combine ideas or information to creatively resolve issues and/or cases and improve efficiency.
31. Assimilate data from multiple sources, identify relevant patterns of information, and develop a comprehensive and accurate picture of the situation.

#### **Willingness to:**

1. Keep managers, staff and others informed about progress and problems and be open-minded, patient and respectful when dealing with others.
2. Conform to the principles of the FTB's Mission and Values (accountability, communication, enterprise thinking, individuality, innovation, integrity, leadership and teamwork).

### **BENEFITS**

To learn more about the comprehensive benefit package please visit the CalPERS website at <http://www.calpers.ca.gov>.

### **VETERANS' PREFERENCE**

Veterans' Preference will not be granted in the examination, as it does not meet the requirements to qualify for Veterans' Preference.

### **CAREER CREDITS**

Career Credits will not be added to the final score of this examination.

### **CONTACT INFORMATION**

For additional information regarding this examination, please contact the Franchise Tax Board Examination/Certification Unit at (916) 845-3608.

### **DISCLAIMER**

Please click on the link below to review the official California State Personnel Board class specification:

<http://jobs.spb.ca.gov/wvpos/jobspecs.cfm>

## GENERAL INFORMATION

**The Franchise Tax Board (FTB)** reserves the right to revise the examination plan to better the needs of the service if the circumstances change under which this examination was planned. Such revision will be in accordance with civil service laws and rules and all candidates will be notified.

**It is the candidate's responsibility for an examination without a written feature** to contact the Franchise Tax Board three weeks after the final filing date if he/she has not received any notification.

**It is the candidate's responsibility for an examination with a written feature** to contact the Franchise Tax Board six weeks after the final filing date if he/she has not received any notification.

**If a candidate's notice was not received** due to a verified postal error, he/she will be rescheduled upon written request. It is the candidate's responsibility to contact the Franchise Tax Board at (916) 845-3608.

**Examination Locations:** When a written test is part of the examination, it will be given in such places in California as the number of candidates and conditions warrant. However, locations of interviews or performance evaluations may be limited or extended as conditions warrant.

**Examination Applications are available** at [www.jobs.ca.gov](http://www.jobs.ca.gov), CalHR State Jobs Center, State Personnel Board offices, local offices of the Employment Development Department and the testing department on this job bulletin.

**If you meet the requirements** stated on this bulletin, you may take this examination, which is competitive. Possession of the entrance requirement does not assure a place on the eligible list. Your performance in the examination will be compared with the performance of the others who take this test, and all candidates who pass will be ranked according to their scores.

**Candidates needing special testing arrangements** due to a disability must mark the appropriate box on the application and/or contact the testing department.

**General Qualifications:** Candidates must possess essential personal qualifications including integrity, initiative, dependability, good judgment, and ability to work cooperatively with others; and a state of health consistent with the ability to perform the assigned duties of the class. A medical examination may be required. In open examinations, investigation may be made of employment records and personal history and fingerprinting may be required.

**Eligible Lists:** Eligible lists established by competitive examination, regardless of date, must be used in the following order: 1) sub-divisional promotional, 2) departmental promotional, 3) multi-departmental promotional, 4) service-wide promotional, 5) departmental open, 6) open. When there are two lists of the same kind, the older must be used first. Eligible lists will expire in one to four years unless otherwise stated on the bulletin.

**Promotional Examinations Only:** Competition is limited to employees who have a permanent civil service appointment and military veterans that meet all the minimum qualifications. Under certain circumstances, other employees may be allowed to compete under provisions of Rules 234, 235, and 235.2. State Personnel Board Rules 233, 234, 235, 235.2, and 237 contain provisions regarding civil service status and eligibility for promotional examinations. These rules may be reviewed at <http://www.spb.ca.gov/>.

**If High School Equivalence is Required:** Equivalence to completion of the 12th grade may be demonstrated in any one of the following ways: 1) passing the General Educational Development (GED) Test; 2) completion of 12 semester units of college work; 3) certification from the State Department of Education, a local school board, or high school authorities that the candidate is considered to have education equivalent to graduation from high school; 4) for clerical and accounting classes, substitution of business college work in place of high school on a year-for-year basis. NOTE: For

peace officer classifications please refer to the testing department for special requirements.

**Veterans' Preference:** California Law (Government Code 18971-18979) allows the granting of Veterans' Preference in Open entrance and Open, Non-Promotional entrance examinations. Veterans' Preference will be granted to all competitors who are successful in these types of examinations, and who qualify for and have requested the Veterans' preference by mail. In Open entrance examinations, Veterans' Preference is granted to competitors who achieve a passing score, shall be placed in the top rank of the resulting eligibility list. Any veteran who has been dishonorably discharged or released is not eligible for Veterans' Preference.

Employees who have achieved permanent State civil service status are not eligible to receive Veterans' Preference. Permanent State civil service status means the status of an employee who is lawfully retained in his/her position after completion of the applicable probationary period. This includes permanent intermittent, part-time, and full-time appointments. In addition, individuals who at any time achieved permanent State civil service status and subsequently resigned or were dismissed from State civil service are not eligible to receive Veterans' Preference. Veteran status is verified by CalHR.

**How to Apply for Veterans' Preference:** Directions to apply for Veterans' Preference Points are on the Veterans' Preference Application ([CalHR 1093](#)) which is available at [www.jobs.ca.gov](http://www.jobs.ca.gov) or from CalHR, 1810 16th Street Sacramento, CA 95811 and the Department of Veterans Affairs. For additional information, go to Department of Veterans' Affairs website at [www.cdva.ca.gov](http://www.cdva.ca.gov).

**Felony Disqualification:** You are disqualified from being employed as a peace officer if: (1) You have been convicted of a felony in California or any other state; (2) you have been convicted of any offense in any other state which would have been a felony if committed in California; (3) you have been charged with a felony and adjudged by a superior court to be mentally incompetent; (4) you have been adjudged addicted or in danger of becoming addicted to narcotics, convicted, and committed to a State institution. If you have been convicted of a felony, you may be allowed to participate in this examination if your conviction(s): (1) has/have been sealed under Penal Code Section 851.7, 851.8, 1203.45, or Health and Safety Code Section 11361.5; (2) has/have been expunged or is/are expugnable pursuant to Health and Safety Code Section 11361.5 regarding marijuana offenses; (3) was/were stipulated or designated to be a lesser included offense of marijuana possession under Health and Safety Code Section 11557 or 11366.

**TDD** is Telecommunications Device for the Deaf and is reachable only from phones equipped with a TDD Device. California Relay Service (Telephone) for the deaf or hearing impaired. From TDD phones: 1-800- 735-2929 or from voice phone: 1-800-735-2922.

**Franchise Tax Board, Examination/Certification Unit**

**P.O. Box 550, Sacramento, CA 95812-0550**

**Phone: (916) 845-3608**

**Website: [www.ftb.ca.gov](http://www.ftb.ca.gov)**